



PATENT APPLICATION

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In re application of

MARGOLIS, David, et al.

Appln. No.: 09/957,031

Group Art Unit: 1885

Confirmation No.: 6530

Examiner: NOT YET ASSIGNED

Filed: September 21, 2001

For: INTEGRATIVE PROTEIN-DNA COCHLEATE FORMULATIONS AND METHODS
FOR TRANSFORMING CELLS

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Sir:

We enclose a copy of the Official Filing Receipt for the above-identified application and request the following correction(s):

Assignment for Published Patent Application please correct the following: Delete "University of Maryland; University of Medicine; Dentistry of New Jersey" insert -- University of Maryland; University of Medicine and Dentistry of New Jersey--.

Verification for the requested correction(s) is indicated on the original Assignment filed September 21, 2001.

Respectfully submitted,

Susan J. Mack
Registration No. 30,951

SUGHRUE MION, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

Date: November 21, 2001

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 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov


Bib Data Sheet

CONFIRMATION NO. 6530

| | | | | |
|--|---|---------------------------------|---|-------------------------------------|
| SERIAL NUMBER 09/957,031 | FILING DATE 09/21/2001 RULE | CLASS 435 | GROUP ART UNIT 1633 | ATTORNEY DOCKET NO. A8163 |
| APPLICANTS David Margolis, Baltimore, MD; Susan Gould-Fogerite, Annadale, NJ; Raphael James Mannino, Annandale, NJ; | | | | |
| ** CONTINUING DATA ***** THIS APPLICATION IS A DIV OF 09/210,578 12/14/1998 | | | | |
| ** FOREIGN APPLICATIONS ***** | | | | |
| IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 10/24/2001 | | | | |
| Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance | | STATE OR COUNTRY MD | SHEETS DRAWING 3 | TOTAL CLAIMS 102 |
| Verified and Acknowledged Examiner's Signature _____ Initials _____ | | INDEPENDENT CLAIMS 12 | | |
| ADDRESS SUGHRUE, MION, ZINN MACPEAK & SEAS, PLLC 2100 Pennsylvania Avenue, NW Washington, DC 20037-3213 | | | | |
| TITLE Integrative protein-DNA cochleate formulations and methods for transforming cells | | | | |
| FILING FEE RECEIVED 1885 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | | <input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit | |

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WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/957,031 | 09/21/2001 | 1633 | 1885 | A8163 | 3 | 102 | 12 |

CONFIRMATION NO. 6530

FILING RECEIPT



SUGHRUE, MION, ZINN
MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, NW
Washington, DC 20037-3213

Date Mailed: 10/25/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

David Margolis, Baltimore, MD;
Susan Gould-Fogerite, Annadale, NJ;
Raphael James Mannino, Annandale, NJ;

Assignment For Published Patent Application

UNIVERSITY OF MARYLAND;
UNIVERSITY OF MEDICINE; -- AND --
DENTISTRY OF NEW JERSEY;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 09/210,578 12/14/1998

Foreign Applications

If Required, Foreign Filing License Granted 10/24/2001

Projected Publication Date: 01/31/2002

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

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'01 MDV -1 P2-10

DOCKETING

Title

Integrative protein-DNA cochleate formulations and methods for transforming cells

Preliminary Class

435

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Assignment

Whereas, I/We, David Margolis,
4506 Roland Avenue
Baltimore, MD 21201

Susan Gould-Fogerite, and
6 Cynthia Court
Annandale, NJ 08801

Raphael Mannino
22 Victoria Drive
Annadale, NJ 08801

respectively, hereinafter called assignor(s), have invented certain improvements in INTERGRATIVE PROTEIN-DNA COCHLEATE FORMULATIONS AND METHOD FOR TRANSFORMING CELLS and executed an application for Letters Patent of the United States of America therefor on _____, 2/12/99, and _____, respectively;

Whereas, University of Maryland, and
Institute of Human Virology
725 W. Lombard Street, Rm MBR 522
Baltimore, MD 21201

University of Medicine, and Dentistry of New Jersey, respectively
30 Bergen Street, University Heights
Newark, NJ 07107-3000

(assignees), desire to acquire the entire right, title, and interest in the application and invention, and to any United States patents to be obtained therefor; —

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged, .

I/We, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its successors and assigns, the entire right, title and interest in the application and the invention disclosed therein for the United States of America and all countries foreign thereto, including rights of priority under the International Convention of Paris (1883) as amended, and I/we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in the application to the assignee, its successors and assigns; and I/we hereby agree that the assignee may apply for foreign Letters Patent on the invention and I/we will execute without further consideration all papers deemed necessary by the assignee in connection with the United States and foreign applications when called upon to do so by the assignee.

I/We hereby authorize and request my attorneys SUGHRUE, MION, ZINN, MACPEAK & SEAS of 2100 Pennsylvania Avenue, NW, Washington, DC 20037-3212 to insert here in parentheses (Application number 09/210,578, filed December 14, 1998) the filing date and application number of said application when known.

Date: 19 Feb. 1999

[Signature]
s/David MARGOLIS

Date: 2/12/99

[Signature]
s/Susan GOULD-FOGERITE

Date: 15 Feb, 1999

[Signature]
s/Raphael MANNINO

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. §261)

8/92



CPREF
Room 307

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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For: INTEGRATIVE PROTEIN-DNA COCHLEATE FORMULATIONS AND METHODS
FOR TRANSFORMING CELLS

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12-12-01

REQUEST FOR REFUND

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant hereby respectfully requests a refund in the amount of \$692.00. This refund is to be credited to Deposit Account No. 19-4880.

Applicant was charge \$548.00 for excess claims; \$9.00 additional independent claims of over three; \$135.00 multiple claims fee. These fees were paid with the government filing fee on September 21, 2001. A copy of the cancelled check showing the fully paid fee is enclosed.

A duplicate copy of this paper is attached.

Respectfully submitted,

Susan J. Mack
Registration No. 30,951

SUGHRUE MION, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

Date: November 21, 2001

SUGHRUE, MION, ZINN, MACPEAK & SEAS, PLLC — PTO ACCOUNT
2100 PENNSYLVANIA AVENUE, N.W., WASHINGTON, D.C. 20037-3202

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Cynthia Clutter

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